



Comptroller of the Currency
Administrator of National Banks

US Department of the Treasury

Biographies

Ellen Broadman Director of the Securities and Corporate Practices

Ellen Broadman is the director of the Securities and Corporate Practices (SCP) Division, Office of the Chief Counsel at the Office of the Comptroller of the Currency (OCC).

In this position, Ms. Broadman is responsible for a broad range of areas including securities activities (sales of mutual funds and other securities, investment advisory activities, securities offerings, bank investments in securities products), insurance, derivatives, fiduciary matters, and corporate governance. SCP handles enforcement actions, drafts interpretive letters and circulars, prepares regulations, and works on legislative matters.

She joined the OCC in 1984 in the Litigation Division and handled a number of major enforcement actions against national bank officers before moving to the Securities and Corporate Practices Division in 1987 as an Assistant Director. In 1989, she became the director of SCP.

Prior to joining the OCC, Ms. Broadman worked with two subcommittees of the Senate Judiciary Committee and, before that, with Consumers Union. She received a juris doctor from Northeastern University School of Law and bachelor's of science from the University of California at Los Angeles.

